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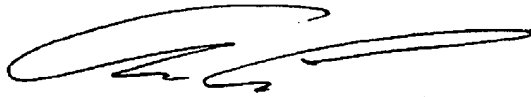
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TO:	Art Unit 3676	FROM:	ADAM J. CERMAK
FAX:	703.872.9306	REF. NO:	003-089
VOICE:		PAGES	34 (incl. this sheet)
App. No.:	<b>10/676,087</b>	DATE:	29 June 2004

The undersigned hereby certifies that the following document(s) is (are) being transmitted by telefacsimile to the United States Patent and Trademark Office at the above "FAX" number, on the above DATE:

- 1) This facsimile Certification cover sheet (1 pg)
- 2) Information Disclosure Statement (3 pp)
- 3) PTO-1449 (1 pg)
- 4) Copies of the five non-U.S. patent documents cited on the PTO-1449 (29 pp)



Adam J. Cermak  
Registration Number 40,391

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**RECEIVED  
CENTRAL FAX CENTER****JUN 29 2004****OFFICIAL**Att'y Dkt. No. 003-089  
U.S. App. No. 10/676,087**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Peter G. AMOS et al.

Appl. No.: 10/676,087

Filing Date: 2 October 2003

Title: Seal Assembly

Art Unit: 3676

Examiner: [to be assigned]

Atty. Docket: 003-089

**INFORMATION DISCLOSURE STATEMENT**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on the accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that an exhaustive search has been made, or that there does not exist information more material to the examination of the present patent application. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will review art of record in all 35 U.S.C. § 120 priority documents.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No certification or fee is required.
- ☐ 2. The Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
- ☐ a. Below is a certification under 37 C.F.R. § 1.97(e).

Att'y Dkt. No. 003-089  
U.S. App. No. 10/676,087

- ☐ b. Attached is my check no. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ c. Please charge my Deposit Account No. 50-2821 in the amount of \$ \_\_\_\_\_ for the fee under 37 C.F.R. § 1.17(p).
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant hereby Petitions that the Information Disclosure Statement be considered. ☐ Attached is my check ☐ please charge my Deposit Account No. 50-2821 in the amount of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Certification(s) under 37 C.F.R. § 1.97(e):
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. I hereby certify that no item of information on this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. Relevance of the non-English language document(s) is discussed in the present specification. See pages \_\_\_\_\_ of the specification of the present application.
- ☒ 6. The document(s) was/were cited in a corresponding foreign application; ☒ a copy of a search report issued in the foreign application is attached, and/or ☐ an English language version of the foreign search report is attached for the Examiner's information. M.P.E.P. § 609 III (A)(3).
- ☐ 7. A concise explanation of the relevance of the non-English language document(s) ☐ is attached hereto or ☐ appears below.
- ☐ 8. The Examiner's attention is directed to co-pending U.S. Patent Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is directed to related technical subject matter. The identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination.
- ☐ 9. Copies of the documents were cited by or submitted to the Office in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

Att'y Dkt. No. 003-089  
U.S. App. No. 10/676,087

- ☐ 10. Copies of the documents cited in the International Search Report (PCT/ISA/210) and/or the International Preliminary Examination Report (PCT/IPEA/416) have been received by the U.S. P.T.O., as indicated on the Notification of Acceptance (PCT/DO/EO/903); accordingly, additional copies are not provided herewith. M.P.E.P. §§ 609 II, 1892.03(g).
- ☒ 11. Copies of the U.S. patent documents cited on the PTO-1449 filed herewith are NOT provided, in accordance with Information Disclosure Statements May Be Filed Without Copies of U.S. Patents and Published Applications in Patent Applications filed after June 30, 2003, 1276 Off. Gaz. Pat. Office 55 (August 5, 2003).
- ☐ 12. Other: \_\_\_\_\_.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

Respectfully submitted,

By: \_\_\_\_\_

Adam J. Cermak  
Reg. No. 40391

Date: 29 June 2004

**U.S. P.T.O. Customer Number 36844**

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Page 1 of 1

FORM PTO 1449 INFORMATION DISCLOSURE STATEMENT	ATTY. DKT. NO.: 003-089	APP. NO.: 10/676,087
	APPLICANT(S): AMOS et al.	
	FILING DATE: 2 Oct. 2003	Group Art Unit: 3676

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUB'N DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	4441726	10 April 1984	Uhl	277	230	
	5333443	2 Aug. 1994	Halila	60	39.31	
	6325392 B1	4 Dec. 2001	Halling	277	654	
	2003/0079475	1 May 2003	Schmahl et al.	60	752	15 Oct. 2002
	2003/0010038	16 Jan. 2003	Maghon	60	796	27 June 2002

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	0 277 724 A2	10 Aug. 1988	EPO			<input type="checkbox"/> Yes <input type="checkbox"/> No
	0 277 724 A3	8 Mar. 1989	EPO			<input type="checkbox"/> Yes <input type="checkbox"/> No
	1 323 957 A2	2 July 2003	EPO			<input type="checkbox"/> Yes <input type="checkbox"/> No
	1 323 957 A3	28 Jan. 2004	EPO			<input type="checkbox"/> Yes <input type="checkbox"/> No
						<input type="checkbox"/> Yes <input type="checkbox"/> No

## OTHER (Including Author, Title, Date, Pertinent Pages, Publisher, etc.)

	Search Report from EP 04100184.3 (28 May 2004)

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	



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Patentamt

Zweigstelle  
in Den Haag  
Recherchen-  
abteilung

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Patent Office

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Search  
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Office européen  
des brevets

Département A  
La Haye  
Division de la  
recherche

Alstom Technology Ltd  
CHTI Intellectual Property  
Brown Boveri Str. 7/699/5  
5401 Baden  
SUISSE

CHTI	Eingang	Ablage:	
28. MAI 2004			
SB			
Von			

Datum/Date

28.05.04

Zeichen/Ref./Ref. B03011-0 EP	Anmeldung Nr./Application No./Demande n°/Patent Nr./Patent No./Brevet n° 04100184.3-1266-
Anmelder/Applicant/Demandeur/Patentinhaber/Proprietor/Titulaire Alstom Technology Ltd	

## COMMUNICATION

The European Patent Office herewith transmits as an enclosure the European search report for the above-mentioned European patent application.

If applicable, copies of the documents cited in the European search report are attached.

☒ Additional set(s) of copies of the documents cited in the European search report is (are) enclosed as well.

The following specifications given by the applicant have been approved by the Search Division:

☒ abstract

☒ title

☐ The abstract was modified by the Search Division and the definitive text is attached to this communication.

The following figure will be published together with the abstract:

3

## REFUND OF THE SEARCH FEE

If applicable under Article 10 Rules relating to fees, a separate communication from the Receiving Section on the refund of the search fee will be sent later.





European Patent  
Office

# EUROPEAN SEARCH REPORT

Application Number  
EP 04 10 0184

DOCUMENTS CONSIDERED TO BE RELEVANT			
Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (Int.Cl.7)
X	✓ US 4 441 726 A (UHL LARRY A) 10 April 1984 (1984-04-10) * column 3, line 34 - line 49 * * column 8, line 24 - line 34; figure 1; examples 1-3 *	1-4	F23R3/00 F16J15/08
X	✓ US 6 325 392 B1 (HALLING HORACE P) 4 December 2001 (2001-12-04) * column 7, line 7 - line 31 * * column 9, line 28 - line 32; figure 5 *	1,3,11, 12	
X	✓ EP 1 323 957 A (GEN ELECTRIC) 2 July 2003 (2003-07-02) * paragraph '0013!; figure 3 *	1,3,12	
A	✓ US 2003/079475 A1 (SCHMAHL MILAN ET AL) 1 May 2003 (2003-05-01) * the whole document *	1-4,11, 12	
A	✓ EP 0 277 724 A (EG & G PRESSURE SCIENCE INC) 10 August 1988 (1988-08-10) * figure 5 *	5	TECHNICAL FIELDS SEARCHED (Int.Cl.7)
A	✓ US 2003/010038 A1 (MAGHON HANS) 16 January 2003 (2003-01-16) * the whole document *	1,12	F23R F16J
A	✓ US 5 333 443 A (HALILA ELY E) 2 August 1994 (1994-08-02) * the whole document *	1,12	
✓ A,D	✓ US 6 450 762 B1 (MUNSHI JONATHAN) 17 September 2002 (2002-09-17) * the whole document *	1	
The present search report has been drawn up for all claims			
Place of search The Hague		Date of completion of the search 18 May 2004	Examiner Colt, E
<p>CATEGORY OF CITED DOCUMENTS</p> <p>X : particularly relevant if taken alone Y : particularly relevant if combined with another document of the same category A : technological background O : non-written disclosure P : intermediate document</p> <p>T : theory or principle underlying the invention E : earlier patent document, but published on, or after the filing date D : document cited in the application L : document cited for other reasons &amp; : member of the same patent family, corresponding document</p>			

1  
EPO FORM 1503 03-02 (P/4.001)

# ANNEX TO THE EUROPEAN SEARCH REPORT ON EUROPEAN PATENT APPLICATION NO.

EP 04 10 0184

This annex lists the patent family members relating to the patent documents cited in the above-mentioned European search report. The members are as contained in the European Patent Office EDP file on  
The European Patent Office is in no way liable for these particulars which are merely given for the purpose of information.

18-05-2004

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
US 4441726	A	10-04-1984	NONE	
US 6325392	B1	04-12-2001	US 2002125650 A1	12-09-2002
EP 1323957	A	02-07-2003	US 2003123978 A1	03-07-2003
			EP 1323957 A2	02-07-2003
			JP 2003227356 A	15-08-2003
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			CN 1412476 A	23-04-2003
			JP 2003176915 A	27-06-2003
EP 0277724	A	10-08-1988	US 4813692 A	21-03-1989
			DE 3883551 D1	07-10-1993
			DE 3883551 T2	16-12-1993
			EP 0277724 A2	10-08-1988
			ES 2047024 T3	16-02-1994
			JP 1003371 A	09-01-1989
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			CN 1409046 A	09-04-2003
			JP 2003065539 A	05-03-2003
US 5333443	A	02-08-1994	US 5363643 A	15-11-1994
US 6450762	B1	17-09-2002	NONE	

EPO FORM P459

For more details about this annex : see Official Journal of the European Patent Office, No. 12/82